8100.1A

U.S. Department of Transportation
Urban Mass Transportation Administration
Washington, D.C. 20590

CIRCULAR

UMTA C 8100.1A

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SUBJECT: PROGRAM GUIDANCE AND APPLICATION INSTRUCTIONS FOR PLANNING AND TECHNICAL STUDIES GRANTS

1. PURPOSE. This circular provides program guidance and application instructions for the preparation of Planning and Technical Studies Grant applications for funds made available under Section 8 of the Urban Mass Transportation Act of 1964, as amended.

2. CANCELLATION.

   a. UMTA Circular 8100.1, "Application Procedures for Technical Studies Grants," dated 5/11/78.

   b. UMTA Notice 8100.1, "Interim Application Procedures for Technical Studies grants," dated 5/15/79.

3. REFERENCES.

   a. Section 8, Urban Mass Transportation Act of 1964, as amended, 49 U.S.C. 1607.

   b. UMTA/FHWA Urban Transportation Planning Regulation, 49 C.F.R. Part 613, Subparts A and B, "Urban Transportation Planning", "Transportation Improvement Programs."

   c. UMTA Circular 5010.1, "UMTA Project Management Guidelines for Grantees," dated 3/1/83.

   d. OMB Circular A-102, as amended, "Uniform Administrative Requirements for Grants-In-Aid to State and Local Governments."

   e. OMB Circular A-87, "Cost Principles for State and Local Governments," dated 1/15/81.

   f. Section 9, Urban Mass Transportation Act of 1964, as amended, 49 U.S.C. 1615.

   g. UMTA Circular 1155.1, "UMTA Interim Equal Employment Opportunity Policy and Requirements for Grant Recipients," dated 12/30/77.

DISTRIBUTION: UMTA Headquarters Offices (U-W-2)
UMTA Regional Offices (U-X-2)

OPI: Office of Grants Management

TD 7.4:

h. UMTA Circular 1160.1, "Interim Guidelines for Title VI Information Specific to UMTA Programs," dated 12/30/77.

i. 49 C.F.R. Part 23, "Participation by Minority Business Enterprise in Department of Transportation Programs".

j. UMTA Circular 4220.1A, "Third Party Contracting Guidelines," dated 6/8/82

k. 49 C.F.R. Part 17, "Intergovernmental Review of Department of Transportation Programs and Activities, dated 3/30/84."

l. UMTA Circular 9500.1, "Intergovernmental Review of UMTA Programs and Activities," dated 3-30-84.

m. UMTA Circular 4716.1, "Disadvantaged Business Enterprise/Women Business Enterprise Requirements for Recipients and Transit Vehicle Manufacturers (TVMs)," dated 1-15-85.

n. OMB Circular A-128, "Audits of State and Local Governments," dated April 12, 1985.

4. IMPACT ON DELEGATIONS OF AUTHORITY. This circular contains no delegations of authority.

5. EFFECTIVE DATE: This Circular is effective January 1, 1986.

Ralph L. Stanley
Administrator

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READEX FICHE best copy available

CHAPTER I
GENERAL OVERVIEW

1. THE SECTION 8 PLANNING AND TECHNICAL STUDIES PROGRAM.

The Urban Mass Transportation Administration (UMTA) carries out the Federal mandate to improve urban mass transportation under the authority of the Urban Mass Transportation Act of 1964 (the Act), as amended. It is the principal source of Federal financial assistance to help urban and non-urban areas plan, develop, and improve comprehensive public mass transportation systems. Section 8 of the Act provides for contracts and grants to States and local public agencies for the planning, engineering, designing, and evaluating of urban public mass transportation projects; for the development of regional transportation plans; and for various other technical studies. Such activities may include:

a. Studies relating to management, operations, capital requirements, and economic feasibility of transit projects;

b. Preparation of engineering and architectural surveys, plans, and specifications;

c. Evaluation of previously funded projects;

d. Similar activities preliminary to the construction of or improved operation of public mass transportation systems, facilities, or equipment.

Section 8 funds provide an 80 percent Federal share of the project or study cost; the remaining 20 percent cost must be provided locally or by the State.

The Planning Program provides financial assistance to State and local governments to aid in the preparation of plans and cost-effective transportation improvement programs (TIPs) which guide the use of Federal capital assistance resources. The plans and programs reflect a variety of State and local objectives as well as national priorities. The Section 8 Program provides a means of drawing State and local attention to national purposes in addition to funding State and local needs.

Section 8 of the Urban Mass Transportation Act contains five parts. Section 8(a) contains a broad list of national objectives, while Section 8(b) builds Metropolitan Planning Organizations (MPO) into the grant delivery system. Section 8(c) requires that federally assisted capital projects be based on plans and programs developed as a result of the comprehensive planning process. Section 8(d) authorizes grants for planning, engineering, and evaluation plus a variety of technical studies, and Section 8(e) requires the maximum participation of private enterprise in developing and implementing the plans and programs.

The basic planning regulation, "Urban Transportation Planning" was published jointly with FHWA in 1975. It was simplified in August 1980, revised and reissued in June 1983. The primary requirements are: (1) there must be an MPO in each urbanized area (areas with over 50,000 population), (2) a transportation plan and a TIP must be produced, and (3) UMTA and FHWA will fund projects only if they are contained in a locally endorsed annual or biennial element of the TIP.

Although Section 8 is a discretionary program, a tentative allocation of funds to States and each urbanized area is made using a population-based distribution. UMTA field staffs negotiate unified planning work programs (UPWPs) with the MPOs and funding levels are then based on the UPWPs.

2. THE UNIFIED PLANNING WORK PROGRAM (UPWP)

The UPWP is the document that describes urban transportation and transportation related planning activities anticipated to be undertaken in the area during the next 1- or 2-year period including the planning work to be performed with Federal planning assistance. The UPWPs are endorsed by the MPOs. The UPWP supports the UMTA grant application and describes the following for each work task:

a. task objective(s);
b. tangible product expected;
c. previous work toward this objective;
d. relationship to other activities;
e. agency responsible for work; and
f. cost and funding source.

When reviewing the UPWP, UMTA evaluates the following:

a. agency's ability to carry out the work program;
b. appropriateness of each work task for UMTA funding; and
c. inclusion of tasks reflecting national emphasis areas, as appropriate.

The format of the UPWP and the presentation of the descriptive information are left to local discretion. However, the level of detail should be commensurate with the size of the urbanized area and the complexity of the transportation problems. Any carryover activities from previous fiscal year grants should be explicitly identified as such in the UPWP. Planning activities to be funded with UMTA Section 9 funds should also be included in the UPWP in order to ensure that the planning activities are fully coordinated with remaining UMTA, FHWA, and other funded planning activities. The level of detail should be the same as that for Section 8.

3. RELATIONSHIP TO SECTION 9

The Section 9 program is a formula apportioned resource that is available for planning, capital, and operating assistance. The Federal match for planning assistance under this program is established by statute at 80 percent of the project cost. The Section 9 program is the primary source of Federal funds for routine capital assistance needs; that is, bus and rail system replacements, equipment, facility construction, and system modernization and rehabilitation.

There are no Section 9 funds specifically earmarked or set aside for planning; rather, these funds may be used for planning at the discretion of the recipient(s) to supplement Section 8 planning resources where the Section 8 allocation is insufficient to carry out the full program the MPO and transit operator wish to pursue. Alternatively, where a study of special interest or of particularly high cost is to be undertaken, UMTA encourages that Section 9 resources be used for these excess planning demands. Guidelines for applicants for the Section 9 program are available from UMTA regional offices (UMTA Circular 9030.1).

4. RELATIONSHIP TO SECTION 16(b)(2) AND SECTION 18

A portion of the Section 8 planning program resource is made available on an annual basis to State transportation agencies to conduct special studies and statewide planning. It also provides planning support for rural and small urban areas.

The Section 18 program provides funds to the States for public transportation projects in small urban and rural areas. Fifteen percent of these funds may be used for State administration, planning and technical assistance.

The Section 16(b)(2) program makes funds available to States for private-nonprofit organizations to purchase vehicles and related equipment for the provision of special transportation services to elderly and handicapped persons. Many of the Section 16(b)(2) recipients serve clients in rural and small urban areas. With few exceptions, the Section 16(b)(2) and Section 18 programs are administered by the same State agency.

Since the three programs complement each other and have many parallels, UMTA encourages State agencies to consider all of the planning, capital and operating resources together and program for their use in a coordinated fashion.

5. NATIONAL EMPHASIS AREAS.

National emphasis areas are developed by the UMTA Administrator to advance national goals as established in legislation, to reflect the Administration's priorities, and to respond to congressional direction established through the appropriations process. They strive to focus the application of some planning funds to studies that address National goals and priorities as well as to those that directly benefit the local operation of public mass transit and otherwise serve State and local needs. The national emphasis areas represent planning activities that will be considered by UMTA when the UPWP and Section 8 grant are negotiated. The emphasis areas are intended to highlight subjects that should be dealt with through the Section 8 funded planning program. The current national emphasis areas are available from UMTA Regional Offices.

6. STATE MANAGEMENT OF SECTION 8 GRANTS.

The "Urban Transportation Planning" regulation, published on June 30, 1983, provides an opportunity for States to administer the UMTA Section 8 grant program in small urbanized areas (areas of less than 200,000 population). Where a State elects to administer Section 8 grants for these urbanized areas, UMTA will make a single grant to the State covering these small urbanized areas as well as the Statewide Section 8 program. Grants made under this option are administered the same as any other Section 8 grant, with the addition of some special conditions as explained in this Circular. This approach is intended to be as uncomplicated and straightforward as possible to minimize burdens on the grantees in administering the Section 8 program. The State, as grantee, is responsible for filing the Section 8 grant application in accordance with this Circular. Small urbanized areas covered by the State grant become subgrantees for purposes of UMTA grant requirements.

The intent in making this change is to give the States the option to determine the demand for planning funds for these urbanized areas annually in collaboration with local authorities in lieu of UMTA making the determination. This does not give the State a unilateral option to retain the funds and spend them for the benefit of the small urbanized areas. A State can use these funds, but it has to do so with the consent of the designated MPO which may opt to have the State perform selected planning tasks for them.

There is no requirement that the State agency administering grants for small areas be the current State Section 8 grantee; however, UMTA encourages that a single State recipient be designated for all Section 8 funds that go to the State. States electing to administer grants for the small areas will have a funding level composed of the sum of the State program level as well as the individual marks for the small urbanized areas in that State. While the State is responsible for determining, through the work program, the suballocation of these funds to the various

small urbanized areas, the UMTA Regional Office will ensure that the funding suballocations are equitable, and that one area does not gain unfairly at the expense of other areas. UMTA expects the State's funding levels to recognize relative population size as well as specific transportation needs and problems of individual areas.

In order to provide a scope of work for the Statewide Section 8 grant, each participating state must prepare a work program which includes:

a. small urban area work proposed (less than 50,000 population);

b. statewide work proposed; and,

c. for each urbanized area under 200,000 population a summary of proposed work activities, funding allocated to complete the work, and an indication of who would be responsible for completing each proposed work activity.

When the State intends to use Section 9 and 18 funding for planning in these areas, the work program should be expanded to include those activities.

The program must be in enough detail for UMTA to assess the appropriateness of the general scope of work, level of proposed funding for each small urbanized area, and the appropriateness of the distribution of work between State and local agencies. The MPO in each urbanized area covered by the program must concur in the work included in the program for that area.

The State work program should be transmitted early enough to allow for UMTA review and approval before the grant application is finalized. The work program may be an independent Section 8 work program or, at the State's discretion, may be incorporated into a single work program covering both UMTA and FHWA planning activities (the FHWA HP&R work program). The opportunity to combine the programs will be greater in states where UMTA and FHWA fund the same State agency.

When a State elects to administer the program in small areas, the State is the grantee and all of the small urbanized areas included in the single State grant become subgrantees to the State. Consequently, all substantive grant application and management requirements become the responsibility of the State as grant recipient. The State is responsible for ensuring that the MPO's, as subgrantees, meet the provisions of this Circular which require specific performance by the subgrantee. These include various requirements of OMB A-87, OMB A-102, Title VI assurance and requirements, adherence to Section 504 requirements, Disadvantaged Business Enterprise (DBE), Executive Order 12372 (Intergovernmental Review of Federal Programs), etc. The State, as grantee, is responsible for administering these requirements. While UMTA does not specify the

documentation a State must obtain from the individual subgrantees, it is incumbent upon the State to have support for the assurances and other presentations made to UMTA as grant applicant, recipient, and manager.

As the Section 8 grantee, the State may charge eligible grant administration expenses as direct costs against an "Administration" work task, or as "indirect costs" as appropriate. Further, the State assumes all responsibilities for grant management activities as contained in UMTA Circular C5010.1.

UMTA will continue to review the technical products of the planning program, including review and approval of the program of projects contained in the TIP. This aspect of project monitoring retains its importance to UMTA since it still forms the basis for subsequent UMTA programming and capital grant approvals; for the statutory findings that must be made; and for the provision of appropriate technical assistance on transportation planning issues to States and small urbanized areas.

In order to effect this change, a brief letter agreement between the UMTA Regional Office and the State Section 8 grantee is suggested. This agreement should outline the basic roles and responsibilities of UMTA and the State thereby supplementing the grant contract. A sample agreement is included as Exhibit E.

CHAPTER II
ELIGIBILITY

1. APPLICANT ELIGIBILITY

Applicants for technical studies grants are limited to State and local public bodies and agencies including State Departments of Transportation or a State agency responsible for statewide transit planning; Metropolitan Planning Organizations (MPO's); other public agencies and instrumentalities of one or more States, or of one or more municipalities, or of other political subdivisions of States; public corporations, boards and commissions established under State law; and publicly-owned transit operators.

2. ELIGIBLE GRANT ACTIVITIES

a. Section 8 funds are available for contracts and grants for the planning, engineering, design and evaluation of public transportation projects and for other technical studies.

b. Eligible activities include studies relating to management, operations, capital requirements and economic feasibility; preparation of engineering and architectural surveys, plans and specifications; evaluation of previously funded projects; and other similar or related activities preliminary to and in preparation for the construction, acquisition or improved operation of public transportation systems, facilities and equipment.

3. GENERAL PROCEDURES

a. For urbanized areas of 200,000 and over population.

(1) UMTA encourages the development of a single application by the designated MPO for Section 8 technical studies funds to support all areawide transportation planning activities.

(2) The application for UMTA grant funds must be based on a UPWP which is consistent with the planning requirements in 49 C.F.R. Part 613, Subpart A "Urban Transportation Planning."

(3) The grant application, or, if the State elects, the UPWP, is subject to review as provided under 49 CFR 17 and may be subject to a State Process review. The application, or UPWP, should be provided to the State single point of contact to ensure that any required State Process review is completed before a grant is approved. Concurrent reviews by UMTA and the State Process are acceptable. (For additional details, see UMTA C 9500.1.)

(4) After the UPWP is reviewed through the State Process (if applicable) and is approved by UMTA, the MPO may submit a grant application to UMTA. The grant application should be transmitted at least 60 days in advance of the applicant's fiscal year for which the funds are to be utilized. UMTA will not consider any applications for funding UPWPs from any agency other than the MPO or the agency designated by the MPO to be the grant applicant.

b. For States, urbanized areas of less than 200,000 population and non-urbanized areas.

(1) UMTA encourages the development of a single grant application from the State to finance statewide public transportation studies, technical assistance to non-urbanized areas (population under 50,000), and planning in urbanized areas of below 200,000 population. The application must be based on a work program which describes statewide planning activities, planning activities of the non-urbanized areas, and planning activities for the urbanized areas under 200,000 population to be funded.

(2) UMTA will consider direct applications from non-urbanized areas only under extenuating circumstances.

(3) If the State elects not to apply for funds to allocate among all urbanized areas below 200,000 population, those areas should continue to apply individually to UMTA following procedures as stated in paragraph a. above.

(4) States which do elect to apply for funds to allocate among urbanized areas below 200,000 population must ensure that subgrantees comply with the provisions of this Circular and other referenced guidance which require specific performance by the subgrantee (eg. Title VI, Section 504, OMB Circular A-102, etc). Such requirements will be administered by the State. While UMTA does not specify the documentation the State must obtain from individual subgrantees, it is incumbent upon the State to have support for the assurances and other presentations made to UMTA as grant applicant, recipient and manager.

(5) The State and small urbanized area grant application or, if, the State elects, the work program, are subject to review as provided under 49 CFR 17 and may be subject to a State process review. The work program, or application, should be provided to the State single point of contact to ensure that any required State process review is completed before a grant is approved. Concurrent review by the State process and UMTA is acceptable. (For further details, see UMTA C 9500.1.)

CHAPTER III
APPLICATION INSTRUCTIONS

1. GENERAL.

Presented in this chapter are the procedures to be followed in applying for Section 8 planning funds.

2. CONTENTS OF APPLICATION.

a. Each applicant must send an application with original signature to the appropriate UMTA Regional Office.

b. To be considered complete, the application should contain the following elements:

(1) Standard Form 424.

(a) A Standard Form 424 (Exhibit B) with Sections I and II completely filled out, including an original signature of the person authorized by resolution to apply for the grant must be provided.

(b) The dollar amounts in block 13 of Standard Form 424 must only be the amount of Section 8 funds and the appropriate local match.

(2) Authorizing Resolution.

A resolution from the governing body of the applicant must be provided. The resolution must formally authorize the applicant to:

(a) Execute and file an application with UMTA;

(b) Execute and file any assurances or other documents required to be provided; and

(c) Execute a grant agreement with UMTA.

Grant documents must be executed consistent with the resolution. A sample Authorizing Resolution is provided in Exhibit C.

(3) Opinion of Counsel

An opinion of counsel indicating the statutory authority, with citation, which created the applicant as a public body, and establishing the legal eligibility of the applicant to apply for and receive a Federal grant, to execute the project, and to expend its own monies in connection with the proposed Work Program must be provided. If the applicant agency has already established legal eligibility with UMTA, the opinion of counsel should be incorporated by reference in the letter of transmittal.

(4) Task Project Budget

(a) A Task Project Budget (see Exhibit B) summarizing approved tasks and budgeted amounts from the Unified Planning Work Program, statewide work program, or individual study work program, as appropriate, must be provided.

(b) The Task Project Budget is the basis for an applicant incurring obligations and UMTA making disbursements of project funds.

(c) The sample Task Project Budget and task descriptions set out in Exhibit B represents a uniform set of categories. Each applicant must prepare the Task Project Budget in the format set out in the exhibit. This may require aggregation of UPWP tasks for budget preparation purposes.

(5) Budget Information, OMB Form 80-R0 186

(a) A Budget Information form (OMB 80-R0 186 Part III) must be provided. Sections B, C, D, and F of the form must be completed (see Exhibit B).

(b) The data provided, including the fund allocation data, is for information purposes and is requested on a one-time only basis at the time of grant application.

(6) Local Share

(a) Each applicant must provide an assurance of commitment for the entire 20 percent local share of the total project cost.

(b) Each commitment must specify whether the match is cash, in-kind services, or a combination of both.

(7) Civil Rights

Prior to UMTA approval of the grant application, several civil rights requirements must be met. In order to avoid any delay in the grant application approval process, early review of these program elements is recommended. All of the civil rights program elements should be provided on a one time basis, with the grantee making an annual review and appropriate revision or update as necessary.

All directives mentioned in this Circular are available from UMTA regional offices. The guidelines for complying with Title VI of the Civil Rights Act of 1964 are contained in UMTA C 1160.1. The guidelines enable applicants to identify, analyze, and address Title VI problems concurrent with or prior to the submission of applications for assistance.

Applicants for planning assistance must supply information in three categories as follows:

(a) profile of the metropolitan planning organization and the urbanized area(s),

(b) citizen involvement in planning and programming, and

(c) identification and consideration of transit needs in the planning process.

Applicants must also meet additional civil rights requirements in the field of:

(a) Equal employment opportunity--each applicant, with 50 or more employees, which has received technical studies grants in excess of $250,000 in the previous federal fiscal year must have an UMTA approved Equal Employment Opportunity (EEO) program. Details are set out in UMTA Circular 1155.1.

(b) Disadvantaged Business Enterprise and Women Owned Business Enterprise--each applicant for funds in excess of $100,000 must meet requirements for participation by Disadvantaged and Women Owned Business Enterprise. These are covered by the Code of Federal Regulations-49 CFR 23(a)(2). Each applicant subject to the requirements of paragraph 49 CFR 23.41(a)(2) that will let DOT-assisted contracts is required to provide UMTA separate overall disadvantaged business

enterprise and women business enterprise percentage goals on an annual basis in accordance with the requirements of paragraph 23.45(g) and subpart D of 49 CFR Part 23.

Title VI Assurance - Each applicant must file an assurance of compliance with Title VI (see Exhibit D). The assurance must be executed by the person authorized to file the application.

(8) Non-Discrimination on the Basis of Handicap.

Each applicant is subject to the requirements of 49 CFR Part 27 - "Non-Discrimination on the Basis of Handicap in Federally-Assisted Programs and Activities Receiving or Benefiting from Federal Financial Assistance" and must file, on a one-time only basis, an assurance of compliance executed by the person authorized to file the application (see Exhibit D).

(9) Cost Allocation Plan/Indirect Cost Proposal.

(a) If indirect costs (overhead) are to be charged to the project, the applicant must have a cost allocation plan/indirect cost proposal to support its indirect cost charges. The plan or proposal must be provided to and approved by the cognizant Federal agency before the applicant can be reimbursed for indirect charges.

(b) The applicant must certify that the plan was prepared according to standards set out in OMB Circular A-87 and should indicate the rate that will be used for the fiscal year. The rate may be later adjusted based on audit. If an applicant intends to charge indirect costs to a project, but has not prepared a cost allocation plan/indirect cost proposal, it should notify UMTA of its intention.

(c) Information on the preparation of cost allocation plans/indirect cost proposals is contained in UMTA Cicular 5010.1.

(10) Compliance With Executive Order 12372

Each applicant must certify compliance with the appropriate State Process established pursuant to Executive Order 12372 and must file a certification to this effect (see Exhibit A).

3. ACKNOWLEDGEMENT OF APPLICATION

Upon receipt of the application, the UMTA Regional Office will acknowledge receipt and indicate if the application is in order or note any deficiencies.

4. GRANT APPROVAL

a. When a grant application has been approved, the applicant is notified, in writing, by UMTA. The notification letter sets forth any special conditions under which the application is approved and transmits copies of the grant agreement.

b. Costs incurred prior to grant approval can not be charged to the grant nor will UMTA give retroactive grant approval. Costs incurred by an applicant to prepare and file an application are not eligible project costs.

c. The grant agreement must be executed and dated promptly in accordance with the instructions that will be provided with the grant approval notification. The grantee should advise UMTA immediately if the grant agreement can not be executed within 90 days.

d. Requisitions for Federal funds will not be honored nor will letters of credit be established or amended until the grant agreement has been executed by both UMTA and the grantee, and is on file with the UMTA Office that certifies payment.

CHAPTER IV
PROGRAM MANAGEMENT

1. GENERAL

Grantees must administer grants in accordance with the procedures in UMTA Circular 5010.1. The Circular contains information concerning audits, allowable costs, accounting procedures, records retention, cost allocation plans, and other financial management requirements.

2. THIRD-PARTY CONTRACTS

a. Third-party contracts are contracts between a grantee, subgrantee, or pass-through funding recipient, and consultants, or others in the private sector for work needed to carry out a project.

b. The procurement, execution, audit and closing of third-party contracts are basic grantee responsibilities and must be carried out in accordance with UMTA Circular 4220.1A.

c. Under the Department's Disadvantaged Business Enterprise and Women Business Enterprise regulations, recipients of Federal funds are required to establish DBE and WBE goals on contracts with subcontracting opportunities. Further information on UMTA's Disadvantaged Business Enterprise can be found in Circular 4716.1.

d. Inter-Agency Agreements passing through grant funds to other public bodies (including transit operators) are not third-party contracts. However, the pass-through recipient must comply with UMTA Circular 4220.1A if it enters into any subsequent third-party contracts using UMTA grant funds.

3. AUDITS

UMTA grant recipients must be audited by an independent auditor retained by the recipient. Audit requirements are set out in OMB Circular A-128.

EXHIBIT A

CERTIFICATION OF COMPLIANCE
WITH EXECUTIVE ORDER 12372

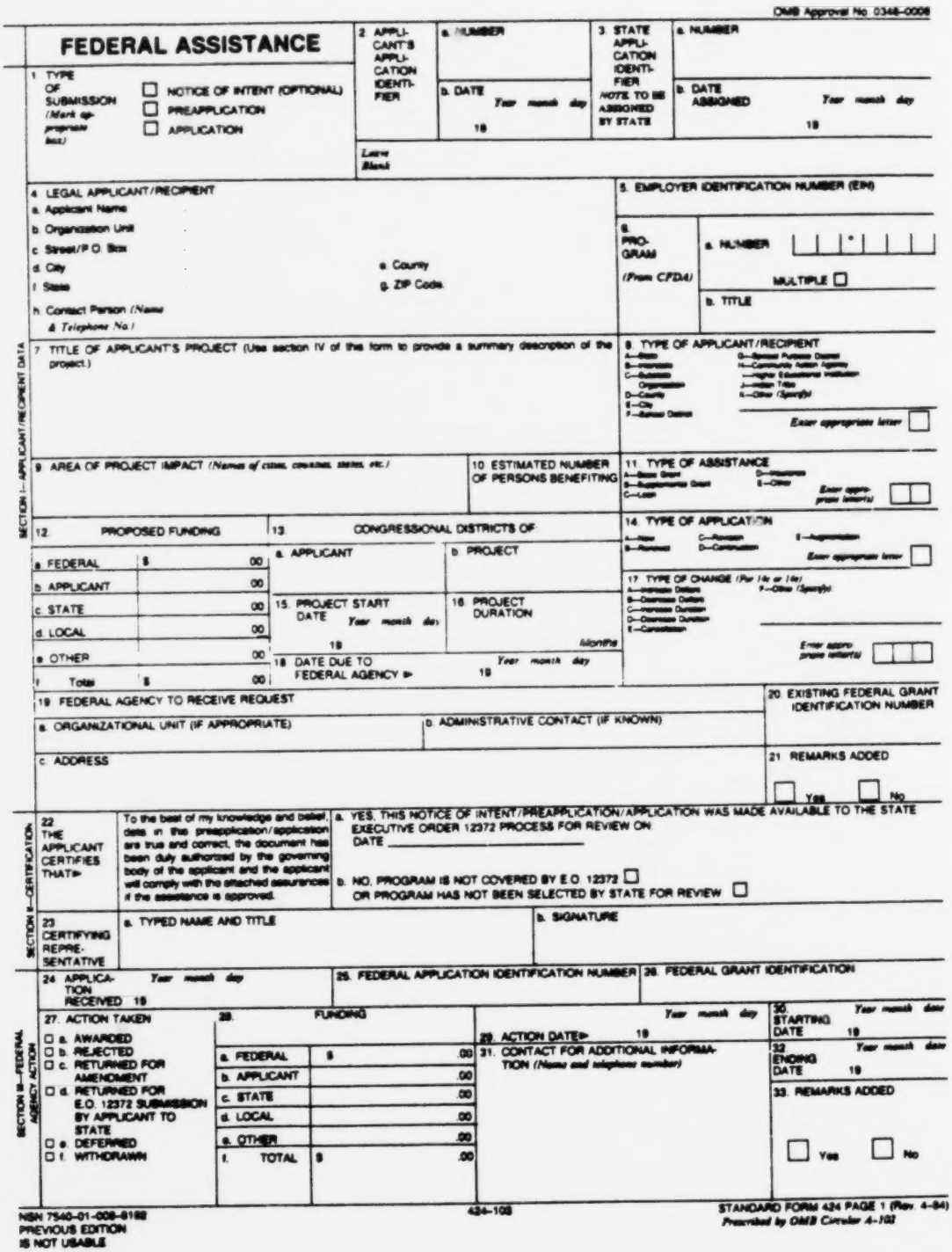
"Certification is given by _____, the applicant, with respect to its application for assistance pursuant to Section 8 of the Urban Mass Transportation Act of 1964, as amended, filed with the Urban Mass Transportation Administration (UMTA) that the recipient has compiled with the State process established by the State of _____ pursuant to Executive Order 12372."

_____
Date

_____
Legal Name of Applicant

By: _____
Signature of Designated Official

EXHIBIT B



OMB Approval No. 0348-0006

FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION (Mark appropriate box)	☐ NOTICE OF INTENT (OPTIONAL) ☐ PREAPPLICATION ☐ APPLICATION	2. APPLICANT'S APPLICATION IDENTIFIER	a. NUMBER / b. DATE (Year month day) 19
		3. STATE APPLICATION IDENTIFIER NOTE TO BE ASSIGNED BY STATE	a. NUMBER / b. DATE ASSIGNED (Year month day) 19
		Leave Blank	

SECTION I—APPLICANT/RECIPIENT DATA

4. LEGAL APPLICANT/RECIPIENT
a. Applicant Name
b. Organizational Unit
c. Street/P.O. Box
d. City
e. County
f. State
g. ZIP Code
h. Contact Person (Name & Telephone No.)

5. EMPLOYER IDENTIFICATION NUMBER (EIN)

6. PROGRAM (From CFDA) a. NUMBER ☐☐.☐☐☐ MULTIPLE ☐ b. TITLE

7. TITLE OF APPLICANT'S PROJECT (Use section IV of this form to provide a summary description of the project.)

8. TYPE OF APPLICANT/RECIPIENT
A—State; B—Regional Organization; C—Subdivision; D—County; E—City; F—Special District; G—Special Purpose District; H—Community Action Agency; I—Higher Educational Institution; J—Indian Tribe; K—Other (Specify)
Enter appropriate letter ☐

9. AREA OF PROJECT IMPACT (Names of cities, counties, states, etc.)

10. ESTIMATED NUMBER OF PERSONS BENEFITING

11. TYPE OF ASSISTANCE
A—Basic Grant; B—Supplemental Grant; C—Loan; D—Insurance; E—Other
Enter appropriate letter(s) ☐☐

12. PROPOSED FUNDING		13. CONGRESSIONAL DISTRICTS OF
a. FEDERAL	$ 00	a. APPLICANT / b. PROJECT
b. APPLICANT	00	
c. STATE	00	15. PROJECT START DATE (Year month day) 19 / 16. PROJECT DURATION (Months)
d. LOCAL	00	
e. OTHER	00	18. DATE DUE TO FEDERAL AGENCY ▶ (Year month day) 19
f. Total	$ 00	

14. TYPE OF APPLICATION
A—New; B—Revision; C—Revision; D—Continuation; E—Augmentation
Enter appropriate letter ☐

17. TYPE OF CHANGE (For 14c or 14e)
A—Increase Dollars; B—Decrease Dollars; C—Increase Duration; D—Decrease Duration; E—Cancellation; F—Other (Specify)
Enter appropriate letter(s) ☐☐☐

19. FEDERAL AGENCY TO RECEIVE REQUEST
a. ORGANIZATIONAL UNIT (IF APPROPRIATE)
b. ADMINISTRATIVE CONTACT (IF KNOWN)
c. ADDRESS

20. EXISTING FEDERAL GRANT IDENTIFICATION NUMBER

21. REMARKS ADDED ☐ Yes ☐ No

SECTION II—CERTIFICATION

22. THE APPLICANT CERTIFIES THAT▶ To the best of my knowledge and belief, data in the preapplication/application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is approved.

a. YES. THIS NOTICE OF INTENT/PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____

b. NO. PROGRAM IS NOT COVERED BY E.O. 12372 ☐
OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW ☐

23. CERTIFYING REPRESENTATIVE a. TYPED NAME AND TITLE / b. SIGNATURE

SECTION III—FEDERAL AGENCY ACTION

24. APPLICATION RECEIVED (Year month day) 19

25. FEDERAL APPLICATION IDENTIFICATION NUMBER

26. FEDERAL GRANT IDENTIFICATION

27. ACTION TAKEN
☐ a. AWARDED
☐ b. REJECTED
☐ c. RETURNED FOR AMENDMENT
☐ d. RETURNED FOR E.O. 12372 SUBMISSION BY APPLICANT TO STATE
☐ e. DEFERRED
☐ f. WITHDRAWN

28. FUNDING

a. FEDERAL	$ .00
b. APPLICANT	.00
c. STATE	.00
d. LOCAL	.00
e. OTHER	.00
f. TOTAL	$ .00

29. ACTION DATE▶ (Year month day) 19

30. STARTING DATE (Year month day) 19

31. CONTACT FOR ADDITIONAL INFORMATION (Name and telephone number)

32. ENDING DATE (Year month day) 19

33. REMARKS ADDED ☐ Yes ☐ No

NSN 7540-01-008-8162
PREVIOUS EDITION IS NOT USABLE

434-103

STANDARD FORM 424 PAGE 1 (Rev. 4-84)
Prescribed by OMB Circular A-102

SECTION IV–REMARKS *(Please reference the proper item number from Sections I, II or III, if applicable)*

GENERAL INSTRUCTIONS FOR THE SF-424

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted in accordance with OMB Circular A-102. It will be used by Federal agencies to obtain applicant certification that states which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process have been given an opportunity to review the applicant's submission.

APPLICANT PROCEDURES FOR SECTION I

Applicant will complete all items in Section I with the exception of Box 3, "State Application Identifier." If an item is not applicable, write "NA." If additional space is needed, insert an asterisk "*," and use Section IV. An explanation follows for each item:

Item

1. Mark appropriate box. Preapplication and application are described in OMB Circular A-102 and Federal agency program instructions. Use of this form as a Notice of Intent is at State option. Federal agencies do not require Notices of Intent.

2a. Applicant's own control number, if desired.

2b. Date Section I is prepared (at applicant's option).

3a. Number assigned by State.

3b. Date assigned by State.

4a–4h. Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of applicant, and name and telephone number of the person who can provide further information about this request.

5. Employer Identification Number (EIN) of applicant as assigned by the Internal Revenue Service.

6a. Use Catalog of Federal Domestic Assistance (CFDA) number assigned to program under which assistance is requested. If more than one program (e.g., joint funding), check "multiple" and explain in Section IV. If unknown, cite Public Law or U.S. Code.

6b. Program title from CFDA. Abbreviate if necessary.

7. Use Section IV to provide a summary description of the project. If appropriate, (e.g., if project affects particular sites as, for example, construction or real property projects, attach a map showing the project location.

8. "City" includes town, township or other municipality.

9. List only largest unit or units affected, such as State, county, or city.

10. Estimated number of persons directly benefiting from project.

11. Check the type(s) of assistance requested.

   A. Basic Grant—an original request for Federal funds.

   B. Supplemental Grant—a request to increase a basic grant in certain cases where the eligible applicant cannot supply the required matching share of the basic Federal program (e.g., grants awarded by the Appalachian Regional Commission to provide the applicant a matching share).

   E. Other. Explain in Section IV.

12. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation under item 14), indicate only the amount of the change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 12a—amount requested from Federal Government. 12b—amount applicant will contribute. 12c—amount from State, if applicant is not a State. 12d—amount from local government, if applicant is not a local government. 12e—amount from any other sources, explain in Section IV.

13b. The district(s) where most of action work will be accomplished. If city-wide or State-wide, covering several districts, write "city-wide" or "State-wide."

14. A. New. A submittal for project not previously funded.

   B. Renewal. An extension for an additional funding/budget period for a project having no projected completion date, but for which Federal support must be renewed each year.

   C. Revision. A modification to project nature or scope which may result in funding change (increase or decrease).

   D. Continuation. An extension for an additional funding/budget period for a project with a projected completion date.

   E. Augmentation. A requirement for additional funds for a project previously awarded funds in the same funding/budget period. Project nature and scope unchanged.

15. Approximate date project expected to begin (usually associated with estimated date of availability of funding).

16. Estimated number of months to complete project after Federal funds are available.

17. Complete only for revisions (item 14c), or augmentations (item 14e).

18. Date preapplication/application must be submitted to Federal agency in order to be eligible for funding consideration.

19. Name and address of the Federal agency to which this request is addressed. Indicate as clearly as possible the name of the office to which the application will be delivered.

20. Existing Federal grant identification number if this is not a new request and directly relates to a previous Federal action. Otherwise, write "NA."

21. Check appropriate box as to whether Section IV of form contains remarks and/or additional remarks are attached.

APPLICANT PROCEDURES FOR SECTION II

Applicants will always complete either item 22a or 22b *and* items 23a and 23b.

22a. Complete if application is subject to Executive Order 12372 (State review and comment).

22b. Check if application is not subject to E.O. 12372.

23a. Name and title of authorized representative of legal applicant.

FEDERAL AGENCY PROCEDURES FOR SECTION III

Applicant completes only Sections I and II. Section III is completed by Federal agencies.

26. Use to identify award actions.

27. Use Section IV to amplify where appropriate.

28. Amount to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions will be included. If the action is a change in dollar amount of an existing grant (a revision or augmentation under item 14), indicate only the amount of change. For decreases, enclose the amount in parentheses. If both basic and supplemental amounts are included, breakout in Section IV. For multiple program funding, use totals and show program breakouts in Section IV. 28a—amount awarded by Federal Government. 28b—amount applicant will contribute. 28c—amount from State, if applicant is not a State. 28d—amount from local government, if applicant is not a local government. 28e—amount from any other sources, explain in Section IV.

29. Date action was taken on this request.

30. Date funds will become available.

31. Name and telephone number of agency person who can provide more information regarding this assistance.

32. Date after which funds will no longer be available for obligation.

33. Check appropriate box as to whether Section IV of form contains Federal remarks and/or attachment of additional remarks.

Code Numbers			Activity
40.00.00			SECTION 8 PLANNING
	41.10.00		Technical Classifications
	41.11.00		Program Support and Administration
	41.12.00		General Development and Comprehenvise Planning
	41.13.00		Long Range Transportation Planning
		41.13.01	System Level
		41.13.02	Project Level
	41.14.00		Short Range Transportation Planning
	41.15.00		Transportation Improvement Programs
	41.16.00		Special Projects
		41.16.01	Elderly and Handicapped
		41.16.02	Air Quality
		41.16.03	Energy Conservation and Contingency Planning
		41.16.04	MBE/WBE
		41.16.05	Private Participation
	41.20.00		Accounting Classifications
		41.20.01	Personnel
		41.20.02	Fringe Benefits
		41.20.03	Travel
		41.20.04	Equipment
		41.20.05	Supplies
		41.20.06	Contractual
		41.20.07	Other
		41.20.08	Indirect Charges

PROJECT TASK BUDGET

CODE NUMBER	ACTIVITY	PROJECT BUDGET 1/
41.11.00	Program Support and Administration	174,600
41.12.00	General Development and Comprehensive Planning	127,400
41.13.00	Long Range Transportation Planning (To include Alternative Analysis and EIS)	
41.13.01	System Level	113,000
41.13.02	Project Level	750,000
41.14.00	Short Range Transportation Planning	165,000
41.15.00	Transportation Improvement Program	20,000
41.16.00	Special Projects	
41.16.01	Elderly and Handicapped	84,000
41.16.02	Air Quality	
41.16.03	Energy Conservation and Contingency	16,000
41.16.04	MBE/WBE	
41.16.05	Private Participation	
41.20.00	Other Activities	
	TOTAL	1,450,000

1/ UMTA funds plus/state/local match.

TECHNICAL ACTIVITIES

1. Program Support and Administration

Include basic overhead, program support, and general administrative costs directly chargeable to the UMTA project, i.e.: direct program support, grant administration, interagency coordination, citizen participation, public information, local assistance, UPWP development, etc. (If direct program administrative and support costs are included in each individual work task, do not enter them a second time in this category.)

2. General Development and Comprehensive Planning

Include only the costs of activities specifically emphasizing regional policy and system planning for non-transportation functional areas, including the development and maintenance of related data collection and analysis systems, demographic analysis and non-transportation modeling and forecasting activity, i.e.: land use, housing, human services, environmental and natural resources, recreation and open space, public facilities and utilities, etc.

3. Long Range Transportation Planning (LRTP) - System level

Include only the costs of activities specifically emphasizing long range transportation system planning and analysis, i.e.: long range travel forecasting and modeling including appropriate data base development and maintenance, system analysis, sketch planning, system plan development, reappraisal or revision, and all long range, Transportation System Management (TSM) activities.

4. Long Range Transportation Planning (LRTP) - Project level

Include only the costs of activities specifically emphasizing long range project level planning and analysis, i.e.: corridor studies, cost effectiveness studies, feasibility and location studies, planning for major transportation investments, Alternatives Analysis and the preparation of related draft environmental impact studies.

5. Short Range Transportation Planning (SRTP)

Include only the costs of activities specifically emphasizing short range transportation system or project planning and analysis, i.e.: management analyses of internal operations such as management/administration, maintenance, personnel, and labor relations; service planning including appropriate data base development and maintenance; TDP preparation; financial management planning, including alternative fare box policies; all short range Transportation System Management (TSM) activities including vanpooling/ridesharing, HOV's, parking management,etc.

6. Transportation Improvement Program

Include only the costs of activities specifically emphasizing TIP development and monitoring.

7. Special Projects

a. Elderly and Handicapped Planning

Include only the cost of planning and analysis activities specifically emphasizing the planning, development and improvement of transportation services to the elderly and handicapped, particularly the wheelchair bound and semi-ambulatory, i.e.: 504 planning, special service planning and evaluation, etc.

Air Quality Planning

Include only the cost of UMTA-funded activities specifically emphasizing air quality planning and analysis, i.e.: development, analysis, and evaluation of transportation control strategies and measures, air quality-related analysis of transportation plans and programs. SIP development and revision activities, air quality monitoring, etc. (Do not include EPA Section 175 funds.)

Energy Conservation and Contingency Planning

Include only the cost of activities specifically emphasizing the development of policies, plans and/or strategies for energy conservation and energy contingency planning.

Disadvantaged Business Enterprise (DBE)/Women Business Enterprise (WBE)

Include only the costs of activities specifically emphasizing DBE/WBE issues, i.e.: development of MBE programs at the MPO or transit operator level, activities directed at integrating DBE/WBE concerns directly into the planning and programming process; and activities directed toward planning for potential transit services that could be provided by DBE/WBEs.

Private Sector Participation

Include only the cost of activities specifically emphasizing participation of the private sector to assist in financing public transportation, in providing service and in promoting more economic service alternatives.

8. Other Activities

Include only the cost of those activities whose primary emphasis is unrelated to the specific types of activities described above.

PLANNING ACCOUNTING CATEGORIES

1. Personnel

Include only the cost of gross compensation (before deductions for taxes and other purposes) for services of individuals devoted specifically to the execution of the Federally funded projects to the exclusion of indirect labor. This category includes additional pay for overtime and holiday work.

2. Frirge Benefits

Include only the payments made by the project sponsor to provide health and security benefits for employees; i.e., FICA, state, and Federal unemployment taxes, state disability insurance, workman's compensation insurance, hospitalization and medical insurance, and pension and annuity funds.

3. Travel

Includes the cost of transportation of employees or others, per diem allowances for authorized travel status, and other expenses incident to travel; i.e., authorized commercial transportation charges, rental of passenger cars, and mileage allowances for privately owned vehicles, and taxi fares whether used for local transportation or for travel away from a designated home base.

4. Equipment

Include the cost of personal property of a more or less durable nature acquired specifically for the grant. Such property would be expected to have a service life of a year or more without material impairment of physical condition. Also, include charges for services in connection with initial installation of equipment when performed under contract. (This category may consist of both capitalized and non-capitalized equipment to include ADP hardware and software).

5. Supplies

Include costs of all commodities regardless of how acquired and (a) which are ordinarily consumed or expended within one year after they are put into use, or (b) which are converted in the process of construction or manufacture, or (c) which are used to form a minor part of equipment or fixed property. This cateory would include office supplies, fuels, and pamphlets.

6. Contractual

Include cost of services furnished specifically for the grant program by other agencies on a pass through basis or companies through contractual charges: i.e., transportation of items (freight charges), rents, communications, utilities, printing and reproduction, organization wide audits, consultant services, external audits of third party contracts, ADP equipment lease or rental, and contractual ADP services.

7. Other

Include only those costs not otherwise included in the other direct cost categories. This category may also contain small amounts for contingencies due to cost uncertainities that may exist at the time the application and planning work programs are prepared.

8. Indirect Charges

Include costs that are (a) incurred for a common or joint purpose benefiting more than one cost objective or project and (b) not readily assignable to the cost objectives or projects specifically benefited. Indirect charges can originate in the project sponsor department, as well as being incurred by other departments in supplying goods, services and facilities to the project sponsor department. OMB Circular A-87 sets forth principles for determining allowable costs of programs administered by State and local governments under grants from the Federal Government.

OMB Approval No. 80-R0186

PART III - BUDGET INFORMATION

SECTION A - BUDGET SUMMARY

Grant Program, Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		$	$	$	$	$
2.						
3.						
4.						
5. TOTALS		$	$	$	$	$

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	$	$	$	$	$ 435,000
b. Fringe Benefits					72,000
c. Travel					7,250
d. Equipment					7,250
e. Supplies					7,250
f. Contractual					761,250
g. Construction					
h. Other					74,500
i. Total Direct Charges					1,305,000
j. Indirect Charges					145,000
k. TOTALS	$	$	$	$	$1,450,000
l. Program Income	$	$	$	$	$

OMB Approval No. 80-R0186

SECTION C - NON-FEDERAL RESOURCES

(a) Grant Program	(b) APPLICANT	(c) STATE	(d) OTHER SOURCES	(e) TOTALS
8. UMTA SECTION 8	$ 140,000	$ 105,000	$ 40,000	$ 290,000
9.				
10.				
11.				
12. TOTALS	$	$	$	$

SECTION D - FORECASTED CASH NEEDS

	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	$ 1,160,000	$ 290,000	$ 290,000	$ 290,000	$ 290,000
14. Non-Federal					
15. TOTAL	$	$	$	$	$

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT

(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)			
	(b) FIRST	(c) SECOND	(d) THIRD	(e) FOURTH
16.	$	$	$	$
17.				
18.				
19.				
20. TOTALS	$	$	$	$

SECTION F - OTHER BUDGET INFORMATION

(Attach additional Sheets If Necessary)

21. Direct Charges:

22. Indirect Charges:

23. Remarks: See continuation sheet.

Continuation Sheet
OMB 80-RO-186

Item 23

Fund Allocations by Agency[1]

Funds to MPO's	$ 390,000
Funds to Transit Operators	$ 750,000
Funds to State/Other Local Agencies	$ 20,000

[1]Include the amount of proposed UMTA funds to be used by MPO's, transit operators, and State and/or other local agencies.

INSTRUCTIONS

PART III

General Instructions

This form is designed so that application can be made for funds from one-or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may not require a breakdown by function or activity. Sections A, B, C, and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Sections A, B, C, and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

Section A. Budget Summary
Lines 1-4, Columns (a) and (b).

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to *multiple* programs where *none* of the programs *require* a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs *require* a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

For continuing grant program applications, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period *only* if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

For supplemental grants and changes to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should *not* equal the sum of amounts in Columns (e) and (f).

Line 5 – Show the totals for all columns used.

Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

Lines 6a-h – Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.

Line 6i – Show the totals of Lines 6a to 6h in each column.

Line 6j – Show the amount of indirect cost. Refer to FMC 74-4.

Line 6k – Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.

Line 7 – Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Federal grantor agency in determining the total amount of the grant.

INSTRUCTIONS

PART III
(continued)

Section C. Source of Non-Federal Resources

Line 8-11 – Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet. (See Attachment F, Circular A-102.

Column (a) – Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

Column (b) – Enter the amount of cash and in-kind contributions to be made by the applicant as shown in Section A. (See also Attachment F, Circular A-102.

Column (c) – Enter the State contribution if the applicant is *not* a State or State agency. Applicants which are a State or State agencies should leave this column blank.

Column (d) – Enter the amount of cash and in-kind contributions to be made from all other sources.

Column (e) – Enter totals of Columns (b), (c), and (d).

Line 12 – Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f), Section A.

Section D. Forecasted Cash Needs

Line 13 – Enter the amount of cash needed by quarter from the grantor agency during the first year.

Line 14 – Enter the amount of cash from all other sources needed by quarter during the first year.

Line 15 – Enter the totals of amounts on Lines 13 and 14.

Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

Lines 16-19 – Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuing grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This Section need not be completed for amendments, changes, or supplements to funds for the current year of existing grants.

If more than four lines are needed to list the program titles submit additional schedules as necessary.

Line 20 – Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

Section F – Other Budget Information.

Line 21 – Use this space to explain amounts for individual direct object cost categories that may appear to be out of the ordinary or to explain the details as required by the Federal grantor agency.

Line 22 – Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

Line 23 – Provide any other explanations required herein or any other comments deemed necessary.

EXHIBIT C

RESOLUTION
(sample)

Resolution No. _____

Resolution authorizing the filing of an application with the Department of Transportation, United States of America, for a grant under the Urban Mass Transportation Act of 1964, as amended.

WHEREAS, the Secretary of Transportation is authorized to make grants for mass transportation projects;

WHEREAS, the contract for financial assistance will impose certain obligations upon the applicant, including the provision by it of the local project costs;

WHEREAS, it is required by the U.S. Department of Transportation in accord with the provisions of Title VI of the Civil Rights Act of 1964, that in connection with the filing of an application for assistance under the Urban Mass Transportation Act of 1964, as amended, the applicant give an assurance that it will comply with Title VI of the Civil Rights Act of 1964 and other pertinent directives and the U.S. Department of Transportation requirements thereunder; and

WHEREAS, it is the goal of the Applicant that minority business enterprise (disadvantaged business enterprise and Women business enterprise) be utilized to the fullest extent possible in connection with this project, and that definitive procedures shall be established and administered to ensure that minority businesses shall have the maximum feasible opportunity to compete for contracts and purchase orders when procuring construction contracts, supplies, equipment contracts, or consultant and other services:

NOW, THEREFORE, BE IT RESOLVED by (Governing Body of Applicant)

1. That (Designated Official - name or title) is authorized to execute and file an application on behalf of (Exact Legal Name of Applicant) with the U.S. Department of Transportation, to aid in the financing of (Brief Description of Project).

2. That (Designated Official) is authorized to execute and file with such application and assurance or any other document required by U.S. Department of Transportation effectuating the purposes of this grant.

3. That (Name of Authorized Representative), (Title), is authorized to furnish such additional information as the U.S. Department of Transportation may require in connection with the application or the project.

4. That (Designated Official) is authorized to set forth and execute Minority business enterprise (disadvantaged enterprise business and woman enterprise) policies and procedures in connection with the project's procurement needs.

5. That (Designated Official - Name or Title) is authorized to execute a grant agreement on behalf of (Exact Legal Name of Applicant) with the U.S Department of Transportation to aid in the financing of (Brief Description of Project).

CERTIFICATE

The undersigned duly qualified and acting (Title of Officer) of the (Exact Legal Name of Applicant) certifies that the foregoing is a true and correct copy of a resolution, adopted at a legally convened meeting of the (Governing Body of Applicant) held on _____, 19____.

If applicant has an official seal,
impress here.

_____
(Signature of Recording Officer)

_____
(Title of Recording Officer)

_____
(Date)

EXHIBIT D

ASSURANCE OF COMPLIANCE UNDER CIVIL RIGHTS ACT

The attached Departmental Standard DOT Title VI Assurance is applicable to all UMTA programs under which grants are extended. The general assurance undertakes to alert the recipient to the occasion and necessity for including additional clauses.

Execution of the Assurance is required of all applicants for UMTA assistance as part of the application.

The Assurance obligates the recipient to include in all of its contracts, including procurements of material and equipment, a further assurance binding contractors to the anti-discrimination provisions of Title VI and other pertinent directives and obligating them to further bind any subcontractors.

It further obligates the recipient to notify all bidders through solicitations that the recipient will affirmatively ensure full opportunity for disadvantaged and women businesses to bid on contracts, free from discrimination.

Recipients who seek to subsequently transfer or grant access to property acquired pursuant to an UMTA-assisted project, are required by the new Assurance to obligate the transferee or licensee to the anti-discrimination provisions of Title VI and other pertinent directives.

ASSURANCE OF COMPLIANCE WITH
TITLE VI OF THE CIVIL RIGHTS ACT OF 1964
(For Technical Studies Projects)

The (Title of Recipient) (Hereinafter referred to as the "Recipient") HEREBY AGREES THAT as a condition to receiving any Federal financial assistance from the Department of Transportation it will comply with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d-42 U.S.C. 2000d-4 (hereinafter referred to as the Act) and all requirements imposed by or pursuant to Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted Programs of the Department of Transportation - Effectuation of Title VI of the Civil Rights Act of 1964 (hereinafter referred to as the Regulations) and other pertinent directives, to the end that in accordance with the Act, Regulations, and other pertinent directives, no person in the United States shall on the grounds of race, color, sex, or national origin be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Recipient receives Federal financial assistance from the Department of Transportation, including the Urban Mass Transportation Administration (UMTA), and HEREBY GIVES ASSURANCE THAT it will promptly take any measures necessary to effectuate this agreement. This assurance is required by subsection 21.7(a)(1) of the Regulations.

More specifically and without limiting the above general assurance, the Recipient hereby gives the following specific assurance with respect to the project:

1. That the Recipient agrees that each "program" and each "facility", as defined in subsections 21.23(e) and 21.23(b) of the Regulations, will be (with regard to a "program") conducted or will be (with regard to a "facility") operated in compliance with all requirements imposed by, or pursuant to, the Regulations.

2. That the Recipient shall insert the following notification in all solicitations for bids for work or material subject to the Regulations and made in connection with a project under the Urban Mass Transportation Act of 1964, as amended (the UMTA Act), and, in adapted form, in all proposals for negotiated agreements:

> The Recipient, in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted Programs of the Department of Transportation issued pursuant to such Act, hereby

notifies all bidders that it will affirmatively insure that in regard to any contract entered into pursuant to this advertisement, minority business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, sex, or national origin in consideration for an award.

3. That the Recipient shall insert the clauses of Attachment A of this assurance in every contract subject to the Act and the Regulations.

4. That where the Recipient receives Federal financial assistance to carry out a program of managerial training under section 10(a) of the Urban Mass Transportation Act of 1964, as amended, the assurance shall obligate the Recipient to make selection of the trainee or fellow without regard to race, color, sex, or national origin.

5. That where the Recipient receives Federal financial assistance to carry out a program under the Urban Mass Transportation Act of 1964, as amended, the assurance shall obligate the Recipient to assign transit operators, and to furnish transit operators, for charter purposes without regard to race, color, sex, or national origin.

6. That where the Recipient receives Federal financial assistance to carry out a program under the Urban Mass Transportation Act of 1964, as amended, routing, scheduling, quality of service, frequency of service, age and quality of vehicles assigned to routes, quality of stations serving different routes, and location of routes may not be determined on the basis of race, color, sex, or national origin.

7. That this assurance obligates the Recipient for the period during which Federal financial assistance is extended to the project, except where the Federal financial assistance is to provide, or is in the form of, personal property, or real property of interest therein or structures or improvements thereon; in which case, the assurance obligates the Recipient or any transferee for the longer of the following periods: (a) The period during which the property is used for a purpose for which the Federal financial assistance is extended, or for another purpose involving the provision of similar services or benefits; or (b) the period during which the Recipient retains ownership or possession of the property.

8. The Recipient shall provide for such methods of administration for the program as are found by the Secretary of Transportation or the official to whom he delegates specific authority to give reasonable guarantee that it, other Recipients, subgrantees, contractors, subcontractors, transferees, successors in interest, and other participants of Federal financial assistance under such program will comply with all requirements imposed or pursuant to the Act, the Regulations, and this assurance.

9. The Recipient agrees that the United States has a right to seek judicial enforcement with regard to any matter arising under the Act, the Regulations, and this assurance.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the Recipient by the Department of Transportation under Federal Urban Mass Transportation Programs and is binding on it, other Recipients, subgrantees, contractors, subcontractors, transferees, successors in interest, and other participants in the Federal Urban Mass Transportation Program. The person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Recipient.

DATE:_____ _____
(Recipient)

By:_____
(Signature of Authorized Official)

_____

Attachment:

Appendix A

(Attachment A to Exhibit D)

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "Contractor") agrees as follows:

(1) Compliance with Regulations: The Contractor shall comply with the Regulations relative to nondiscrimination in Federally-assisted programs of the Department of Transportation (hereinafter, "DOT"), Title 49, Code of Federal Regulations, Part 21, as they may be amended from time to time (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

(2) Nondiscrimination: The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, sex, or national origin in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The Contractor shall not participate either directly or indirectly in the discrimination prohibited by section 21.5 of the Regulations.

(3) Solicitations for Subcontracts, Including Procurements of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the Contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the Contractor of the Contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, sex, or national origin.

(4) Information-Reports: The Contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the Urban Mass Transportation Administration (UMTA) to be pertinent to ascertain compliance with such Regulations, orders, and instructions. Where any information is required or a Contractor is in the exclusive possession of another who fails or refuses to furnish this information, the Contractor shall so certify to the Recipient or the Urban Mass Transportation Administration, as appropriate, and shall set forth the efforts it has made to obtain this information.

(5) Sanctions for Noncompliance: In the event of the Contractor's noncompliance with the nondiscrimination provisions of this contract, the Recipient shall impose such contract sanctions as it or the Urban Mass Transportation Administration may determine to be appropriate, including, but not limited to:

(Attachment A to Exhibit D)

(a) Withholding of payments to the Contractor under the contract until the Contractor complies; and/or

(b) Cancellation, termination, or suspension of the contract in whole or in part.

(6) Incorporation of Provisions: The Contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations or directives issued pursuant thereto. The Contractor shall take such action with respect to any subcontract or procurement as the Recipient or the Urban Mass Transportation Administration may direct as a means of enforcing such provisions including sanctions for noncompliance: provided, however, that in the event a Contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the Contractor may request the Recipient to enter into such litigation to protect the interests of the Recipient and, in addition, the Contractor may request the United States to enter into such litigation to protect the interest of the United States.

EXHIBIT D

Assurance Concerning Nondiscrimination on the Basis of Handicap in Federally-Assisted Programs and Activities Receiving or Benefitting from Federal Financial Assistance

(Department of Transportation)

_____, (the "Recipient") AGREES
(Name of Applicant)
THAT, as a condition to the approval or extension of any Federal financial assistance from the United States Department of Transportation to construct any facility, or to participate in or obtain any benefit from any program administered by the Department, to which the Department's regulation set forth in Title 49, Code of Federal Regulations, Department of Transportation, Subtitle A, Office of the Secretary, Part 27--"Nondiscrimination on the Basis of Handicap in Programs and Activities Receiving or Benefitting from Federal Financial Assistance" (the "Regulation") applies, no otherwise qualified handicapped person shall, solely by reason of his handicap, be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination under any program or activity that receives or benefits from Federal financial assistance administered by the Department of Transportation, including the Urban Mass Transportation Administration, and GIVES ASSURANCE that it will conduct any program or operate any facility so assisted in compliance with all of the requirements imposed by the Regulation, or any directive issued pursuant to that Regulation.

_____ _____
DATE Legal Name of Applicant

By: _____
Signature of Authorized Official

EXHIBIT E

SAMPLE AGREEMENT

This agreement between (State) and the UMTA outlines the roles and responsibilities of the two parties in the administration of funds made available under Section 8 of the Urban Mass Transportation Act of 1964, as amended, for use in urbanized areas of under 200,000 population.

(State) Responsibilities

1. In the preparation for each upcoming program year, (State) will establish a tentative Section 8 funding level for each MPO recognizing both the relative population size of the urbanized area as well as the specific needs and transportation problems of the individual area. To the extent possible, this will be based on current program and funding information provided by UMTA.

2. (State) will be responsible for preparing a work program, in cooperation with affected MPO's, for all work to be funded under a single Section 8 Grant. (State) will be responsible for work program transmittal to UMTA.

3. (State) will prepare and transmit a single Section 8 grant application based on the approved planning work program of the State including the work for the affected MPO's. The grant application will be prepared in accordance with the UMTA Circular 8100.1 "Application Procedures for Technical Studies Grants", with (State) assuming all"applicant" responsibilities contained therein.

4. (State) will administer the grant in accordance with UMTA Circular 5010.1 "UMTA Project Management Guidelines for Grantees". (State) will assume all "grantee" responsibilities contained therein.

5. (State) will provide necessary administrative and technical assistance to the MPO's on the UMTA related program. (State) will also serve as the principal communication link between UMTA and the MPO's for the purpose of transmitting MPO documents and program guidance, as well as budget changes.

6. For purposes of grants made according to this agreement, MPO's assume the roles and responsibilities of subgrantees, or pass through recipients, to (State). Therefore, (State) will ensure compliance by the subgrantee with the provisions of UMTA Circular 8100.1, UMTA Circular 5010.1, and other requirements (e.g., A-102, Title VI, Section 504) which require specific performance by the subgrantee.

UMTA Responsibilities

1. UMTA will provide a Section 8 funding level for the combined (State) and MPO transit planning program, preprogram guidance as to Federal planning priorities, and other program related information, as appropriate.

2. UMTA will review, comment upon, and approve the work program and budget prior to grant application.

3. UMTA will notify (State) of grant approval and any conditions thereto, and will transmit the grant agreement for execution by (State).

4. UMTA will allow funding charges against the grant in an amount not to exceed ten percent (10%) of the pass-through funds to (State) for grant administration. This amount may be readjusted in future years to reflect actual expenditures for grant administration.

5. UMTA will retain authority to approve significant final draft reports (e.g., Transit Development Programs, facility feasibility studies), TIP's, and significant budget revisions.

6. UMTA will retain responsibility for enforcing all of its regulations on Section 504, Title VI, DBE, EEO, OMB A-102 and OMB A-87, etc., unless otherwise specified.

7. UMTA will provide guidance information to (State) for general distribution to the MPO's.

IN ADDITION, it is mutally agreed that:

1. (State) and UMTA will meet periodically to review progress made in fulfilling the responsibilities outlined above.

2. This agreement may be amended or terminated at any time by mutual consent of the parties hereto, or may be terminated by either party by giving sixty (60) days notice in writing to the other.

IN WITNESS WHEREOF, the parties hereto have executed this agreement by their proper representatives.

(State)	URBAN MASS TRANSPORTATION ADMINISTRATION
_____	_____
_____	_____
_____	_____
_____	_____

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